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Patent  
264/055



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Stephen W. Pettit, et al

Serial No.: 09/753,910

Filed: January 2, 2001

For: Immunization Tracking Record

Group Art Unit: 2161

Examiner: Not yet assigned

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Box Non-Fee  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. The items are listed on the attached form PTO-1449 and copies are enclosed for the convenience of the Examiner.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR § 1.56. The submission thereof by Applicant is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

INFORMATION DISCLOSURE STATEMENT FILING PROVISION:

☒ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR §

CERTIFICATE OF MAILING  
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

May 8, 2002  
Date of Deposit

Sally Hartwell

Name of Person Mailing Paper

Signature of Person Mailing Paper

1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

- ☒ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.
- ☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.
- ☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.
- ☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.
- ☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.
- ☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

**STATEMENT UNDER 37 CFR § 1.97(e):**

- ☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.
- ☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.


**PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:**

- ☐ A check in the amount of \_\_\_\_\_ is enclosed for the above fee(s).
- ☐ Please charge \_\_\_\_\_ to Deposit Account No. **12-2475** for the above fee(s).

The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to Lyon & Lyon's Deposit Account No. **12-2475**.

Dated: May 8, 2002

Respectfully submitted,  
LYON & LYON LLP

By:   
William A. English  
Reg. No. 42,515



**22249**

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<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> 264/055	<b>SERIAL NO.</b> 09/753,910
	<b>APPLICANT:</b> Stephen W. Pettit, et al.	
	<b>FILING DATE:</b> January 2, 2001	<b>GROUP:</b> 2161

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE	
	1.	4,839,806	6/13/1989	Goldfischer, et al.			
	2.	4,857,713	8/15/1989	Brown			
	3.	4,857,716	8/15/1989	Gombrich, et al.			
	4.	5,716,114	2/10/1998	Holmes, et al.			
	5.	5,624,400	4/29/1997	Firth, et al.			
	6.	5,842,976	12/1/1998	Williamson			
	7.	5,848,593	12/15/1998	McGrady, et al.			
	8.	5,852,590	12/22/1998	de la Huerga			
	9.	5,912,818	6/15/1999	McGrady, et al.			
	10.	5,940,306	8/17/1999	Gardner, et al.			
	11.	5,971,593	10/26/1999	McGrady			
	12.	5,973,600	10/26/1999	Mosher, Jr.			
	13.	5,991,729	11/23/1999	Barry, et al.			
	14.	5,991,730	11/23/1999	Lubin, et al.			
	15.	6,003,006	12/14/1999	Colella, et al.			
	16.	6,021,392	2/1/2000	Lester, et al.			

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)	
	PCT Publication No. WO 00/62221 entitled, "Lot Tracking Systems for Pharmaceuticals", 10/19/2000.

<b>EXAMINER:</b> Not yet assigned	<b>DATE CONSIDERED:</b>
EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant	

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

## APPLICANT:

Stephen W. Pettit, et al.

## FILING DATE:

January 2, 2001

## GROUP:

2161

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	17.	6,032,155	2/29/2000	de la Huerga			
	18.	6,055,507	4/25/2000	Cunningham			
	19.	6,065,819	5/23/2000	Holmes, et al.			
	20.	6,108,588	8/22/2000	McGrady			
	21.	6,108,634	8/22/2000	Podnar, et al.			
	22.	6,112,182	8/29/2000	Akers, et al.			
	23.	6,112,183	8/29/2000	Swanson, et al.			
	24.	6,148,297	11/14/2000	Swor, et al.			
	25.	6,154,726	11/28/2000	Rensimer, et al.			
	26.	6,161,095	12/12/2000	Brown			
	27.	6,171,283	1/9/2001	Perez, et al.			
	28.	6,219,587	4/17/2001	Ahlin, et al.			
	29.	6,256,967	7/10/2001	Hebron, et al.			
	30.	6,259,654	7/10/2001	de la Huerga			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

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## EXAMINER:

Not yet assigned

## DATE CONSIDERED:

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